





## CRITERION 102

## CONTROL PROCESS

## SIGNATURES

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**RECORD OF REVISIONS**

<b>Revision No.</b>	<b>Date</b>	<b>Description</b>
0	08/28/98	Initial Issue
1	04/05/00	This revision reflects the conversion from a WordPerfect document into a Microsoft Word document, additional clarification of how to develop and control criterion, and the new Criterion Writer's Guide.
2	6/17/02	Rewriting of Control Process and incorporation of changes from Criterion 101 Writer's Guide Rev. 3 This revision reflects changes in approval processes.

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## **CRITERION 102**

### **CONTROL PROCESS**

#### **1.0 PURPOSE**

The purpose of this Criterion is to establish the minimum requirements and best practices for the submission, review processes, approval process, record management and distribution of Operations and Maintenance (O&M) Criterion at LANL.

This document addresses the requirements of LIR 230-05-01(Ref 10.1), "Operations and Maintenance Manual."

Implementation of this Criterion satisfies DOE Order 430.1A (Ref 10.2) for the subject equipment / system. DOE Order 430.1A (Ref 10.2) "Life Cycle Asset Management," Attachment 2 "Contractor Requirements Document," Paragraph 2, Sections A through C, which in part requires UC to "...maintain physical assets in a condition suitable for their intended purpose," and employ "preventive, predictive, and corrective maintenance to ensure physical asset availability for planned use and/or proper disposition." Compliance with DOE Order 430.1A is required by Appendix G of the UC Contract.

#### **2.0 SCOPE**

The scope of this Criterion includes the submission, review processes, approval process, record management and distribution of O&M Criteria at LANL. This Criterion does not address corrective maintenance actions required to repair or replace equipment.

#### **3.0 ACRONYMS AND DEFINITIONS**

##### **3.1 Acronyms**

<b>AHJ</b>	Authority Having Jurisdiction
<b>CFR</b>	Code of Federal Regulations
<b>DOE</b>	Department of Energy
<b>FM</b>	Facility Manager
<b>GL</b>	Group Leader
<b>IIM</b>	Integrated Information Management

<b>LIR</b>	Laboratory Implementing Requirement
<b>MSE</b>	Maintenance and Systems Engineering
<b>O&amp;M</b>	Operations and Maintenance
<b>PM</b>	Project Manager
<b>POC</b>	Point of Contact
<b>SME</b>	Subject Matter Expert
<b>SSS</b>	Support Services Subcontractor
<b>TL</b>	Team Leader
<b>UC</b>	University of California

### 3.2 Definitions

**Peer Review.** A review group that will include the FWO-MSE Group Leader (GL), FWO-MSE Team Leader (TL), and other subject matter experts (SME) as designated by Author.

**POC/FM Review.** This review group includes members of the Facility Managers (FM) and Point of Contacts (POCs) at LANL.

## 4.0 RESPONSIBILITIES

### 4.1 FWO- Maintenance and Systems Engineering (MSE)

**4.1.1** FWO-MSE is responsible for the administrative and technical content of this Criterion and monitoring the applicability and the implementation status of this Criteria and either assisting the organizations that are not applying or meeting the implementation expectations contained herein or elevating their concerns to the director(s).

*Basis:* LIR 301-00-01.11; Issuing and Managing Laboratory Operations Implementation Requirements and Guidance, Section 5.4, OIC Implementation Requirements.

**4.1.2** FWO-MSE shall provide Technical assistance to support implementation of this Criterion.

### 4.2 Deputy Division Leader for Facility Operations

**4.2.1** Approval of all criteria submitted.

### 4.3 Facility Manager (FM)

**4.3.1** Review each Criterion and submit comments, using required Comment Form (Appendix A) to Project Manager (PM).

**4.4 FWO-MSE Group Leader (GL)**

- 4.4.1 Review Criterion during Peer Review and POC/FM Review cycles using the required Comment Form (Attachment A) and submit comments to Project Manager (PM), with a copy to the Technical Writer.
- 4.4.2 Approval Signature on final document.

**4.5 Team Leader (TL)**

- 4.5.1 Responsible for determination of need for new criteria or approval for revised criteria.
- 4.5.2 Review criteria during Peer Review and POC/FM Review cycles, using required Comment Form (Appendix A) for all comments and submit comments to the PM
- 4.5.3 Final Review of each criterion.
- 4.5.4 Approval Signature on final document.

**4.6 Project Manager (PM)**

- 4.6.1 Maintain O&M Criterion Schedule and Revision Status.
- 4.6.2 Work with GL and TL to determine need for new criteria, provide name and issue numbers for all new criteria.
- 4.6.3 Review each criterion prior to Peer, POC/FM and Final reviews and provide comments to author for resolution.

**4.7 Criterion Author**

- 4.7.1 Author will provide estimate for revisions and development of criteria.
- 4.7.2 Develop criteria in accordance with this document and O&M Criterion 101 – Writer’s Guide
- 4.7.3 Determine need for criteria revisions on a three-year cycle.
- 4.7.4 Resolve all comments that are submitted by Peer Review, POC/FM Review, and Final Review using required Comment Form (Appendix A).

**4.8 Technical Writer**

- 4.8.1 Notify Peer review group, POC/FMs, Author, TL, GL, PM, SSS PMI Representative when criteria have been posted on Review web page for review and comments.
- 4.8.2 Distribution of criteria for approval signatures.
- 4.8.3 E-mail notice of posting of approved and signed criterion and the URL link to POC/FMMC, GL, TL, Author, and SSS PMI Representative.

**4.8.4 Records Management****4.8.4.1** The Technical Writer shall perform the following:

- Send e-mail to all reviewers for each review cycle, listing criterion to be reviewed, persons to whom comments should be returned, date comments are due and the person to contact should there be any questions, URL link for criteria location and required Comment Form (Appendix A).
- During development, revisions to the documents shall be identified as follows:
- Set the header date to automatically change throughout the review cycle. At the end of the review cycle, prior to issuance, set the date to manual for the date issued. Make sure date on revision page matches date in header for issuance.
- The signed original of all approved criteria shall be filed in the designated three ring binders labeled Approved Criteria and stored at FWO-MSE.
- Copies of all materials used to develop the criterion shall be placed in file binders and stored at FWO-MSE for use as reference.

**4.9 Webmaster**

**4.9.1** Responsible for posting of criteria on the LANL O&M Manual Criterion Review webpage before each review cycle.

**4.9.2** Responsible for posting of approved and signed criteria on the LANL O&M Manual Master Document List webpage.

**4.10 Point of Contact (POC)**

**4.10.1** Review criteria for technical accuracy and submit comments on required Comment Form (Appendix A) to PM.

**5.0 PRECAUTIONS AND LIMITATIONS****5.1 Precautions**

None

**5.2 Limitations**

None

**6.0 REQUIREMENTS**

Minimum requirements Criteria users shall follow are specified in this section. Requested variances to these requirements shall be prepared and submitted to

FWO-MSE in accordance with LIR 301-00-02 (Ref. 10.4), “Variances and Exceptions to Laboratory Operations Requirements,” for review and approval.

## **6.1 Creation of New Criteria**

**6.1.1** Suggested criteria will be submitted to PM for determination of development, naming and numbering, and processing.

**6.1.2** All new and revised criteria shall be prepared in accordance with requirements of this document and the latest revision of the O&M Criterion 101 – Writer’s Guide.

## **6.2 Document Review**

**6.2.1** New and revised criteria shall be sent through the following review cycles:

**6.2.1.1** The Peer Review shall include the TL, GL and other subject matter experts (SME) as identified by the Author.

**6.2.1.2** The POC/FM Review shall be comprised of POCs and FM members at LANL and/or their designees.

## **7.0 RECOMMENDATIONS AND GOOD PRACTICES**

N/A

## **8.0 GUIDANCE**

N/A

## **9.0 REQUIRED DOCUMENTATION**

### **9.1 Review Documents**

**9.1.1** All review documents and comment forms with resolutions shall be maintained in hard copy and electronic format under the individual criterion name and number.

### **9.2 Issuing Documents**

**9.2.1** A final prepared document is given to the Deputy Division Leader for Facility Operations for his final review and approval signature.

**9.2.2** Obtain approval signatures from the Criterion Author, FWO-MSE GL, TL, and the Deputy Division Leader for Facility Operations.

**9.2.3** Post the document on the Web and send e-mail notifying organization users of a new or revised document. The lists, [POC@lanl.gov](mailto:POC@lanl.gov) and [FM@lanl.gov](mailto:FM@lanl.gov) are maintained by Facility Waste Operations – Integrated Information Management (FWO-IIM).



- 9.2.4** Upon posting to the Web page the all criteria become part of LIR-230-05-01, Mandatory Document.

### **9.3 Document Maintenance**

- 9.3.1** Maintenance of all documents in the Operations and Maintenance Manual is a continuing responsibility of FWO-MSE and the preparing organization from the time the document is published.

- 9.3.2** The document shall be reviewed within three years of the date of initial issue, and as a three-year cycle thereafter. Revisions are allowed at any time based on need. (LIR 301-00-01, Section 5.4 – Reference 10.1.5)

- 9.3.3** Editorial changes, which have no technical or administrative impact, will be promulgated in the criteria through the Technical Writer without revision number change, simply a notation on the Revision page of the criterion.

EXAMPLE: Numbering change in referenced DOE order, organization acronym change, etc.

### **9.4 Criterion Type & Numbering System**

The following sections are identified in the Criterion Manual:

Section No.	Criterion Type
100	Manual Administration
200	O&M Maintenance Management Administration
300	Utilities & Infrastructure
400	Mechanical Systems and Equipment
500	Electrical Systems and Equipment
600	Structural/Building Systems
700	Fire Protection Systems and Equipment
800	Instrumentation and Controls

### **9.5 Revision Numbering**

- 9.5.1** During the development stage and review cycles, revisions will be assigned the next numerical revision number followed by a lower case letter, i.e.; Rev: 1a, Rev: 1b, Rev: 1c...etc.

- 9.5.2** Revisions will be tracked from Rev: 0 (Initial issue), Rev: 1, Rev: 3, etc. upon issuance.

### **9.6 Record Keeping**

- 9.6.1** FWO-MSE shall maintain an electronic copy on the FWO-MSE server, and hard copy files of criterion documents.

- 9.6.2** Records to be maintained shall include:

- 9.6.2.1 Initial drafts of each criterion and all comment sheets with author resolution.
- 9.6.2.2 FWO-MSE shall maintain hard copy files of all documentation utilized to draft the criterion.
- 9.6.2.3 Two superceded signed criteria will be saved in hard copy form and in scanned versions with signed signature page on the FWO-MSE server.
- 9.6.2.4 Other pertinent information such as memos, e-mails and meeting minutes as necessary

## **10.0 REFERENCES**

The following references, and associated revisions, were used in the development of this document.

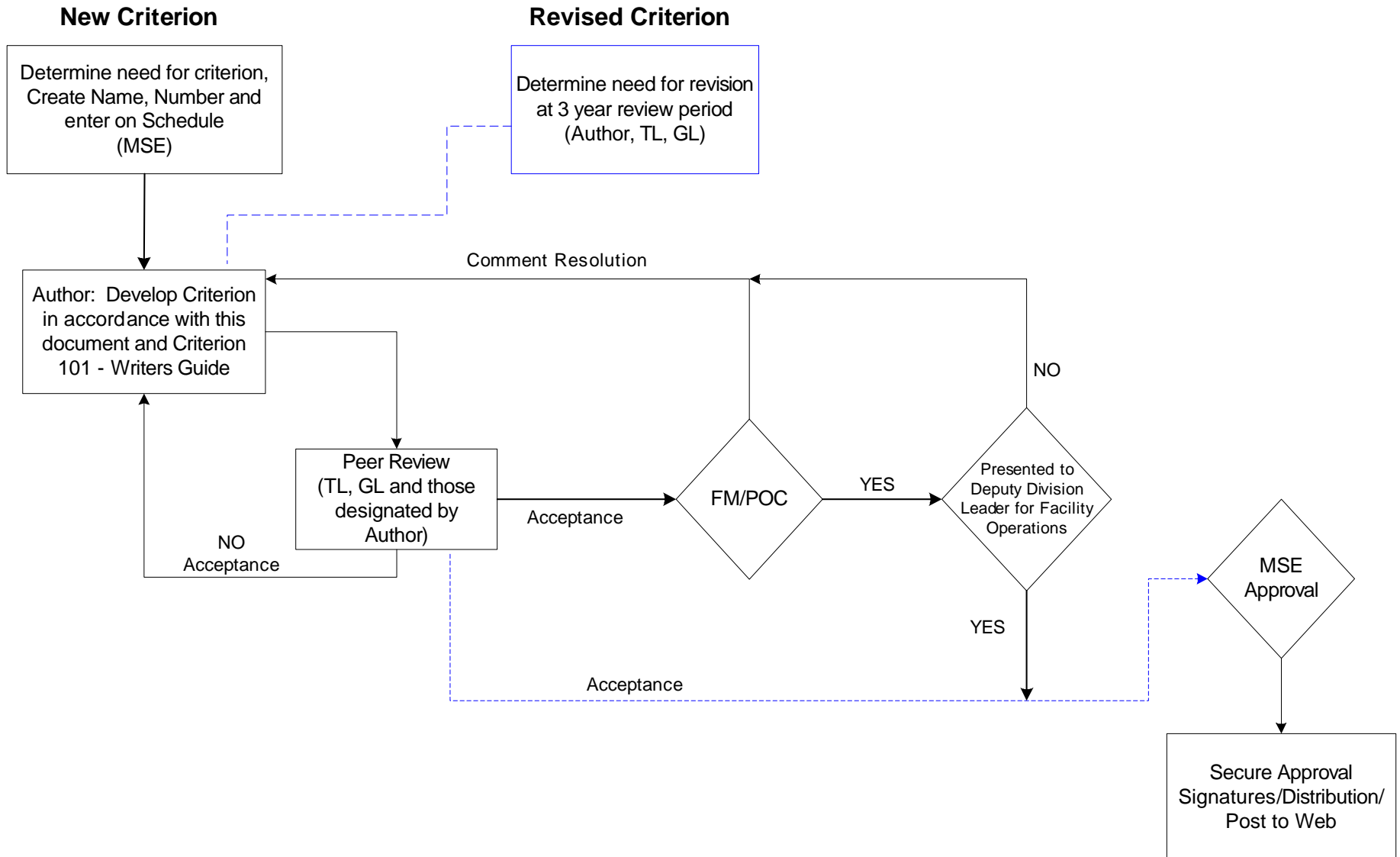
- 10.1.1 LIR 230-05-01.0, Operation and Maintenance Manual.
- 10.1.2 DOE O 430.1A, Attachment 2 “Contractor Requirements Document” (Paragraph 2, Sections A through C), a requirement of Appendix G of the UC Contract.
- 10.1.3 DOE Order 4330.4B, Maintenance Management Program, Section 3.4.9.
- 10.1.4 LIR 301-00-02, Variances and Exceptions to Laboratory Operation Requirements.
- 10.1.5 LIR 301-00-01, Section 5.4, Variances and Exceptions to Laboratory Operation Requirements.

## **11.0 APPENDICES**

Appendix A: Criterion Flow Chart  
Appendix B: Comment Review Form

**APPENDIX A  
PROCESS FLOWCHART**

## APPENDIX A CRITERION FLOW CHART



**APPENDIX B**

**COMMENT REVIEW FORM**

Facility and Waste Operations Division	<h1 style="text-align: center;">TECHNICAL REVIEW RECORD</h1>				<b>Date:</b> <b>Page 1 of 1</b>

Cost Code		Program Code		Cost Account		Work Package		Technical Area		Bldg.	
Project Title				Project ID Number		Design Authority/Document Owner		ML ML-		Independent Design Verification [ ] Yes; [ X ] No	
Technical Review Leader (Name/Organization/Telephone No./ E-mail)								Assignment Date		Review Plan No.	
Mail Stop	Technical Reviewer			Review Type		Organization		Qualifications			Date

Project ID #:		Document(s) Within Scope of Review:			
		1.			
Comment No.	Document Sheet/Page Number	Reviewer' s Comments (Attach additional numbered pages as required.)	Action (E/S)	Comment Disposition + Incorporated - Not Incorporated (Explain)	Reviewer's Acceptance (yes/no, initials)
1					
2					
3					
4					
5					

<b>Facility and Waste Operations Division</b>	<h1>TECHNICAL REVIEW RECORD</h1>	<b>Date:</b> <b>Page 2 of 2</b>
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<b>Project ID #:</b>		<b>Document(s) Within Scope of Review:</b>			
		1.			
Comment No.	Document Sheet/Page Number	Reviewer' s Comments  (Attach additional numbered pages as required.)	Action (E/S)	Comment Disposition + Incorporated - Not Incorporated (Explain)	Reviewer's Acceptance (yes/no, initials)

<b>Reviewed By (Print Name / Signature)</b>	<b>Organization</b>	<b>Date</b>
<b>Comments Processed By (Print Name /Signature)</b>	<b>Organization</b>	<b>Date</b>